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<p><b>(21) International Application Number:</b> PCT/US99/19439</p> <p><b>(22) International Filing Date:</b> 30 August 1999 (30.08.99)</p> <p><b>(30) Priority Data:</b></p> <table border="0"> <tr> <td>60/098,605</td> <td>31 August 1998 (31.08.98)</td> <td>US</td> </tr> <tr> <td>09/375,015</td> <td>16 August 1999 (16.08.99)</td> <td>US</td> </tr> </table> <p><b>(71) Applicant:</b> PPG INDUSTRIES OHIO, INC. [US/US]; 3800 West 143rd Street, Cleveland, OH 44111 (US).</p> <p><b>(72) Inventors:</b> BARKAC, Karen, A.; 322 Oakridge Drive, Murrysville, PA 15668 (US). COCA, Simion; Apartment 28, 4 Bayard Road, Pittsburgh, PA 15213 (US). FRANKS, James, R.; 1048 Woodhill Drive, Gibsonsia, PA 15044 (US). HUMBERT, Kurt, A.; 106 Michelle Circle, Bethel Park, PA 15102 (US). LAMERS, Paul, H.; 4372 Rosanna Drive, Allison Park, PA 15101 (US). MARTIN, Roxalana, L.; 9409 Frankstown Road, Pittsburgh, PA 15235 (US). O'DWYER, James, B.; 117 Spring Valley Road, Valencia, PA 16059 (US). OLSON, Kurt, G.; 3935 Bakerstown Road, Gibsonsia, PA 15044 (US). WHITE, Daniela; 494 Woodland Road, Pittsburgh, PA 15237 (US).</p> <p><b>(74) Agents:</b> UHL, William, J.; PPG Industries, Inc., One PPG Place, Pittsburgh, PA 15272 (US) et al.</p>		60/098,605	31 August 1998 (31.08.98)	US	09/375,015	16 August 1999 (16.08.99)	US	<p><b>(81) Designated States:</b> AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).</p> <p><b>Published</b></p> <p><i>With international search report.</i></p> <p><i>Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i></p>
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09/375,015	16 August 1999 (16.08.99)	US						
<p><b>(54) Title:</b> THERMOSETTING COMPOSITIONS CONTAINING HYDROXY FUNCTIONAL POLYMERS PREPARED BY ATOM TRANSFER RADICAL POLYMERIZATION</p> <p><b>(57) Abstract</b></p> <p>A thermosetting composition comprising a co-reactable solid, particulate mixture of (a) capped polyisocyanate cross-linking agent, e.g., a trimer of 1-isocyanato-3,3,5-trimethyl-5-isocyanatomethylcyclohexane capped with ε-caprolactam or 1H-2,5-dimethyl pyrazole, and (b) hydroxy functional polymer, is described. The hydroxy functional polymer is prepared by atom transfer radical polymerization and has well defined polymer chain architecture and polydispersity index of less than 2.5. The thermosetting compositions of the present invention have utility as powder coatings compositions.</p>								

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**THERMOSETTING COMPOSITIONS CONTAINING HYDROXY FUNCTIONAL  
POLYMERS PREPARED BY ATOM TRANSFER RADICAL POLYMERIZATION**

10

**FIELD OF THE INVENTION**

The present invention relates to thermosetting compositions of one or more capped polyisocyanate crosslinking agents and one or more hydroxy functional polymers. The hydroxy functional polymer is prepared by atom transfer  
15 radical polymerization, and has well defined polymer chain structure, molecular weight and molecular weight distribution. The present invention also relates to methods of coating a substrate, substrates coated by such methods, and composite coating compositions.

20

**BACKGROUND OF THE INVENTION**

Reducing the environmental impact of coatings compositions, in particular that associated with emissions into the air of volatile organics during their use, has been  
25 an area of ongoing investigation and development in recent years. Accordingly, interest in powder coatings has been increasing due, in part, to their inherently low volatile organic content (VOC), which significantly reduces air emissions during the application process. While both  
30 thermoplastic and thermoset powder coatings compositions are commercially available, thermoset powder coatings are typically more desirable because of their superior physical properties, e.g., hardness and solvent resistance.

Low VOC coatings are particularly desirable in the  
35 automotive original equipment manufacture (OEM) market, due to the relatively large volume of coatings that are used. However, in addition to the requirement of low VOC levels,

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automotive manufactures have very strict performance requirements of the coatings that are used. For example, automotive OEM clear top coats are typically required to have a combination of good exterior durability, acid etch and water  
5 spot resistance, and excellent gloss and appearance. While liquid top coats containing, for example, capped polyisocyanate and polyol components, can provide such properties, they have the undesirable draw back of higher VOC levels relative to powder coatings, which have essentially  
10 zero VOC levels.

Powder coatings compositions containing polyol and capped polyisocyanate components ("isocyanate cured powder coatings") are known and have been developed for use in a number of applications, such as industrial and automotive OEM topcoats.  
15 Such isocyanate cured powder coatings compositions are described in, for example, United States Patents 4,997,900, 5,439,896, 5,508,337, 5,554,692 and 5,777,061. However, their use has been limited due to deficiencies in, for example, flow, appearance and storage stability. Isocyanate cured  
20 powder coating compositions typically comprise a crosslinker having two or more capped isocyanate groups, e.g., a trimer of 1-isocyanato-3,3,5-trimethyl-5-isocyanatomethylcyclohexane capped with e-caprolactam, and a hydroxy functional polymer, e.g., an acrylic copolymer prepared in part from hydroxyalkyl  
25 (meth)acrylate. The hydroxy functional acrylic polymers used in such isocyanate based powder coatings compositions are typically prepared by standard, i.e., non-living, radical polymerization methods, which provide little control over molecular weight, molecular weight distribution and polymer  
30 chain structure.

The physical properties, e.g., glass transition temperature (T<sub>g</sub>) and melt viscosity, of a given polymer can be directly related to its molecular weight. Higher molecular weights are typically associated with, for example, higher T<sub>g</sub>  
35 values and melt viscosities. The physical properties of a polymer having a broad molecular weight distribution, e.g.,

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having a polydispersity index (PDI) in excess of 2.0 or 2.5, can be characterized as an average of the individual physical properties of and indeterminate interactions between the various polymeric species that comprise it. As such, the physical properties of polymers having broad molecular weight distributions can be variable and hard to control.

The polymer chain structure, or architecture, of a copolymer can be described as the sequence of monomer residues along the polymer back bone or chain. For example, a hydroxy functional copolymer prepared by standard radical polymerization techniques will contain a mixture of polymer molecules having varying individual hydroxy equivalent weights. Some of these polymer molecules can actually be free of hydroxy functionality. In a thermosetting composition, the formation of a three dimensional crosslinked network is dependent upon the functional equivalent weight as well as the architecture of the individual polymer molecules that comprise it. Polymer molecules having little or no reactive functionality (or having functional groups that are unlikely to participate in crosslinking reactions due to their location along the polymer chain) will contribute little or nothing to the formation of the three dimensional crosslink network, resulting in less than desirable physical properties of the finally formed polymerizate, e.g., a cured or thermoset coating.

The continued development of new and improved isocyanate cured powder coatings compositions having essentially zero VOC levels and a combination of favorable performance properties is desirable. In particular, it would be desirable to develop isocyanate cured powder coatings compositions that comprise hydroxy functional polymers having well defined molecular weights and polymer chain structure, and narrow molecular weight distributions, e.g., PDI values less than 2.5. Controlling the architecture and polydispersity of the hydroxy functional polymer is desirable in that it enables one to achieve higher Tg's and lower melt viscosities than comparable

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hydroxy functional polymers prepared by conventional processes, resulting in thermosetting particulate compositions which are resistant to caking and have improved physical properties.

5 International patent publication WO 97/18247 and United States Patent No.'s 5,763,548 and 5,789,487 describe a radical polymerization process referred to as atom transfer radical polymerization (ATRP). The ATRP process is described as being a living radical polymerization that results in the formation  
10 of (co)polymers having predictable molecular weight and molecular weight distribution. The ATRP process is also described as providing highly uniform products having controlled structure (i.e., controllable topology, composition, etc.). The '548 and '487 patents and WO 97/18247  
15 patent publication also describe (co)polymers prepared by ATRP, which are useful in a wide variety of applications, for example, with paints and coatings.

#### SUMMARY OF THE INVENTION

20 In accordance with the present invention there is provided, a thermosetting composition comprising a co-reactable solid, particulate mixture of:

- (a) capped polyisocyanate crosslinking agent; and
- (b) hydroxy functional polymer prepared by atom  
25 transfer radical polymerization initiated in the presence of an initiator having at least one radically transferable group, and in which said polymer contains at least one of the following polymer chain structures I and II:



wherein M is a residue, that is free of hydroxy functionality,  
35 of at least one ethylenically unsaturated radically polymerizable monomer; G is a residue, that has hydroxy

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functionality, of at least one ethylenically unsaturated radically polymerizable monomer; p and q represent average numbers of residues occurring in a block of residues in each polymer chain structure; and p, q and x are each individually  
5 selected for each structure such that said active hydrogen functional polymer has a number average molecular weight of at least 250.

In accordance with the present invention, there is also provided a method of coating a substrate with the above  
10 described thermosetting composition.

There is further provided, in accordance with the present invention, a multi-component composite coating composition comprising a base coat deposited from a pigmented film-forming composition, and a transparent top coat applied over the base  
15 coat. The transparent top coat comprises the above described thermosetting composition.

Other than in the operating examples, or where otherwise indicated, all numbers expressing quantities of ingredients, reaction conditions, and so forth used in the specification  
20 and claims are to be understood as modified in all instances by the term "about."

As used herein, the term "polymer" is meant to refer to both homopolymers, i.e., polymers made from a single monomer species, and copolymers, i.e., polymers made from two or more  
25 monomer species.

#### DETAILED DESCRIPTION OF THE INVENTION

Thermosetting compositions in accordance with the present invention, comprise one or more hydroxy functional polymers.  
30 As used herein and in the claims, by "hydroxy functional polymer" is meant a polymer having two or more hydroxy groups in terminal and/or pendent positions that are capable of reacting and forming covalent bonds with compounds containing isocyanate groups. The hydroxy groups of the hydroxy  
35 functional polymer may be selected from the group consisting

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of primary hydroxyls, secondary hydroxyls, tertiary hydroxyls and combinations thereof.

The hydroxy functional polymer of the present invention is prepared by atom transfer radical polymerization (ATRP).

5 The ATRP method is described as a "living polymerization," i.e., a chain-growth polymerization that propagates with essentially no chain transfer and essentially no chain termination. The molecular weight of a polymer prepared by ATRP can be controlled by the stoichiometry of the reactants,  
10 i.e., the initial concentration of monomer(s) and initiator(s). In addition, ATRP also provides polymers having characteristics including, for example, narrow molecular weight distributions, e.g., PDI values less than 2.5, and well defined polymer chain structure, e.g., block copolymers and  
15 alternating copolymers.

The ATRP process can be described generally as comprising: polymerizing one or more radically polymerizable monomers in the presence of an initiation system; forming a polymer; and isolating the formed polymer. The initiation  
20 system comprises: an initiator having a radically transferable atom or group; a transition metal compound, i.e., a catalyst, which participates in a reversible redox cycle with the initiator; and a ligand, which coordinates with the transition metal compound. The ATRP process is described in further  
25 detail in international patent publication WO 97/18247 and United States Patent No.'s 5,763,548 and 5,789,487.

In preparing hydroxy functional polymers of the present invention, the initiator may be selected from the group consisting of linear or branched aliphatic compounds,  
30 cycloaliphatic compounds, aromatic compounds, polycyclic aromatic compounds, heterocyclic compounds, sulfonyl compounds, sulfenyl compounds, esters of carboxylic acids, polymeric compounds and mixtures thereof, each having at least one radically transferable group, which is typically a halo  
35 group. The initiator may also be substituted with functional groups, e.g., oxiranyl groups, such as glycidyl groups.



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Additional useful initiators and the various radically transferable groups that may be associated with them are described on pages 42 through 45 of international patent publication WO 97/18247.

5       Polymeric compounds (including oligomeric compounds) having radically transferable groups may be used as initiators, and are herein referred to as "macroinitiators." Examples of macroinitiators include, but are not limited to, polystyrene prepared by cationic polymerization and having a  
10 terminal halide, e.g., chloride, and a polymer of 2-(2-bromopropionyloxy) ethyl acrylate and one or more alkyl (meth)acrylates, e.g., butyl acrylate, prepared by conventional non-living radical polymerization. Macroinitiators can be used in the ATRP process to prepare  
15 graft polymers, such as grafted block copolymers and comb copolymers. A further discussion of macroinitiators is found on pages 31 through 38 of international patent publication WO 98/01480.

Preferably, the initiator may be selected from the group  
20 consisting of halomethane, methylenedihalide, haloform, carbon tetrahalide, 1-halo-2,3-epoxypropane, methanesulfonyl halide, p-toluenesulfonyl halide, methanesulfonyl halide, p-toluenesulfonyl halide, 1-phenylethyl halide, C<sub>1</sub>-C<sub>6</sub>-alkyl ester of 2-halo-C<sub>1</sub>-C<sub>6</sub>-carboxylic acid, p-halomethylstyrene, mono-  
25 hexakis( $\alpha$ -halo-C<sub>1</sub>-C<sub>6</sub>-alkyl)benzene, diethyl-2-halo-2-methyl malonate, ethyl 2-bromoisobutyrate and mixtures thereof. A particularly preferred initiator is diethyl-2-bromo-2-methyl malonate.

Catalysts that may be used in preparing hydroxy  
30 functional polymers of the present invention, include any transition metal compound that can participate in a redox cycle with the initiator and the growing polymer chain. It is preferred that the transition metal compound not form direct carbon-metal bonds with the polymer chain. Transition metal  
35 catalysts useful in the present invention may be represented by the following general formula III,

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III

 $TM^{n+}X_n$ 

wherein TM is the transition metal, n is the formal charge on the transition metal having a value of from 0 to 7, and X is a counterion or covalently bonded component. Examples of the transition metal (TM) include, but are not limited to, Cu, Fe, Au, Ag, Hg, Pd, Pt, Co, Mn, Ru, Mo, Nb and Zn. Examples of X include, but are not limited to, halogen, hydroxy, oxygen, C<sub>1</sub>-C<sub>6</sub>-alkoxy, cyano, cyanato, thiocyanato and azido. A preferred transition metal is Cu(I) and X is preferably halogen, e.g., chloride. Accordingly, a preferred class of transition metal catalysts are the copper halides, e.g., Cu(I)Cl. It is also preferred that the transition metal catalyst contain a small amount, e.g., 1 mole percent, of a redox conjugate, for example, Cu(II)Cl<sub>2</sub> when Cu(I)Cl is used. Additional catalysts useful in preparing the hydroxy functional polymers of the present invention are described on pages 45 and 46 of international patent publication WO 97/18247. Redox conjugates are described on pages 27 through 33 of international patent publication WO 97/18247.

Ligands that may be used in preparing hydroxy functional polymers of the present invention, include, but are not limited to compounds having one or more nitrogen, oxygen, phosphorus and/or sulfur atoms, which can coordinate to the transition metal catalyst compound, e.g., through sigma and/or pi bonds. Classes of useful ligands, include but are not limited to: unsubstituted and substituted pyridines and bipyridines; porphyrins; cryptands; crown ethers; e.g., 18-crown-6; polyamines, e.g., ethylenediamine; glycols, e.g., alkylene glycols, such as ethylene glycol; carbon monoxide; and coordinating monomers, e.g., styrene, acrylonitrile and hydroxyalkyl (meth)acrylates. A preferred class of ligands are the substituted bipyridines, e.g., 4,4'-dialkyl-bipyridyls. Additional ligands that may be used in preparing hydroxy functional polymers of the present invention are

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described on pages 46 through 53 of international patent publication WO 97/18247.

In preparing the hydroxy functional polymers of the present invention the amounts and relative proportions of initiator, transition metal compound and ligand are those for which ATRP is most effectively performed. The amount of initiator used can vary widely and is typically present in the reaction medium in a concentration of from  $10^{-4}$  moles / liter (M) to 3 M, for example, from  $10^{-3}$  M to  $10^{-1}$  M. As the molecular weight of the hydroxy functional polymer can be directly related to the relative concentrations of initiator and monomer(s), the molar ratio of initiator to monomer is an important factor in polymer preparation. The molar ratio of initiator to monomer is typically within the range of  $10^{-4}$  : 1 to 0.5 : 1, for example,  $10^{-3}$  : 1 to  $5 \times 10^{-2}$  : 1.

In preparing the hydroxy functional polymers of the present invention, the molar ratio of transition metal compound to initiator is typically in the range of  $10^{-4}$  : 1 to 10 : 1, for example, 0.1 : 1 to 5 : 1. The molar ratio of ligand to transition metal compound is typically within the range of 0.1 : 1 to 100 : 1, for example, 0.2 : 1 to 10 : 1.

Hydroxy functional polymers useful in the thermosetting compositions of the present invention may be prepared in the absence of solvent, i.e., by means of a bulk polymerization process. Generally, the hydroxy functional polymer is prepared in the presence of a solvent, typically water and/or an organic solvent. Classes of useful organic solvents include, but are not limited to, esters of carboxylic acids, ethers, cyclic ethers,  $C_5$ - $C_{10}$  alkanes,  $C_5$ - $C_8$  cycloalkanes, aromatic hydrocarbon solvents, halogenated hydrocarbon solvents, amides, nitriles, sulfoxides, sulfones and mixtures thereof. Supercritical solvents, such as  $CO_2$ ,  $C_1$ - $C_4$  alkanes and fluorocarbons, may also be employed. A preferred class of solvents are the aromatic hydrocarbon solvents, particularly preferred examples of which are xylene, and mixed aromatic solvents such as those commercially available from Exxon

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Chemical America under the trademark SOLVESSO. Additional solvents are described in further detail on pages 53 through 56 of international patent publication WO 97/18247.

5 The hydroxy functional polymer is typically prepared at a reaction temperature within the range of 25°C to 140°C, e.g., from 50°C to 100°C, and a pressure within the range of 1 to 100 atmospheres, usually at ambient pressure. The atom transfer radical polymerization is typically completed in less than 24 hours, e.g., between 1 and 8 hours.

10 When the hydroxy functional polymer is prepared in the presence of a solvent, the solvent is removed after the polymer has been formed, by appropriate means as are known to those of ordinary skill in the art, e.g., vacuum distillation. Alternatively, the polymer may be precipitated out of the  
15 solvent, filtered, washed and dried according to known methods. After removal of, or separation from, the solvent, the hydroxy functional polymer typically has a solids (as measured by placing a 1 gram sample in a 110°C oven for 60 minutes) of at least 95 percent, and preferably at least 98  
20 percent, by weight based on total polymer weight.

Prior to use in the thermosetting compositions of the present invention, the ATRP transition metal catalyst and its associated ligand are typically separated or removed from the hydroxy functional polymer. Removal of the ATRP catalyst is  
25 achieved using known methods, including, for example, adding a catalyst binding agent to the a mixture of the polymer, solvent and catalyst, followed by filtering. Examples of suitable catalyst binding agents include, for example, alumina, silica, clay or a combination thereof. A mixture of  
30 the polymer, solvent and ATRP catalyst may be passed through a bed of catalyst binding agent. Alternatively, the ATRP catalyst may be oxidized in situ and retained in the hydroxy functional polymer.

The hydroxy functional polymer may be selected from the  
35 group consisting of linear polymers, branched polymers, hyperbranched polymers, star polymers, graft polymers and

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mixtures thereof. The form, or gross architecture, of the polymer can be controlled by the choice of initiator and monomers used in its preparation. Linear hydroxy functional polymers may be prepared by using initiators having one or two  
5 radically transferable groups, e.g., diethyl-2-halo-2-methyl malonate and  $\alpha,\alpha'$ -dichloroxylene. Branched hydroxy functional polymers may be prepared by using branching monomers, i.e., monomers containing radically transferable groups or more than one ethylenically unsaturated radically polymerizable group,  
10 e.g., 2-(2-bromopropionyloxy)ethyl acrylate, p-chloromethylstyrene and diethyleneglycol bis(methacrylate). Hyperbranched hydroxy functional polymers may be prepared by increasing the amount of branching monomer used.

Star hydroxy functional polymers may be prepared using  
15 initiators having three or more radically transferable groups, e.g., hexakis(bromomethyl)benzene. As is known to those of ordinary skill in the art, star polymers may be prepared by core-arm or arm-core methods. In the core-arm method, the star polymer is prepared by polymerizing monomers in the  
20 presence of the polyfunctional initiator, e.g., hexakis(bromomethyl)benzene. Polymer chains, or arms, of similar composition and architecture grow out from the initiator core, in the core-arm method.

In the arm-core method, the arms are prepared separately  
25 from the core and optionally may have different compositions, architecture, molecular weight and PDI's. The arms may have different hydroxy equivalent weights, and some may be prepared without any hydroxy functionality. After the preparation of the arms, they are attached to the core. For example, the  
30 arms may be prepared by ATRP using glycidyl functional initiators. These arms can then be attached to a core having three or more active hydrogen groups that are reactive with epoxides, e.g., carboxylic acid or thiol groups. The core can be a molecule, such as citric acid, or a core-arm star polymer  
35 prepared by ATRP and having terminal reactive hydrogen containing groups, e.g., carboxylic acid groups. The reactive

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hydrogen groups of the core may react with the residue of the glycidyl functional initiator.

An example of a core prepared by ATRP methods that can be used as a core in an ATRP arm-core star polymer is described as follows. In the first stage, 6 moles of methyl methacrylate are polymerized in the presence of one mole of 1,3,5-tris(bromomethyl)benzene. In the second stage, 3 moles of 2-hydroxyethyl methacrylate are fed to the reaction mixture. Three living ATRP prepared arms of varying or equivalent composition, and each containing a single epoxide group, e.g., the residue of an epoxide functional initiator, may be connected to the hydroxy terminated core by reaction between the hydroxy groups of the core and the epoxide group in each of the arms. Residues having hydroxy functionality can be introduced into the living arms of the arm-core star polymer by continuing the ATRP process in the presence of hydroxy functional ethylenically unsaturated radically polymerizable monomers, e.g., hydroxyethyl methacrylate.

Hydroxy functional polymers in the form of graft polymers may be prepared using a macroinitiator, as previously described herein. Graft, branched, hyperbranched and star polymers are described in further detail on pages 79 through 91 of international patent publication WO 97/18247.

The polydispersity index (PDI) of hydroxy functional polymers useful in the present invention, is typically less than 2.5, more typically less than 2.0, and preferably less than 1.8, for example, 1.5. As used herein, and in the claims, "polydispersity index" is determined from the following equation: 
$$\text{PDI} = \frac{\text{weight average molecular weight (Mw)}}{\text{number average molecular weight (Mn)}}$$
. A monodisperse polymer has a PDI of 1.0. Further, as used herein, Mn and Mw are determined from gel permeation chromatography using polystyrene standards.

General polymer chain structures I and II together or separately represent one or more structures that comprise the polymer chain, or back bone, architecture of the hydroxy

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functional polymer. Subscripts p and q of general polymer chain structures I and II represent average numbers of residues occurring in the M and G blocks of residues respectively. Subscript x represents the number of segments of M and G blocks, i.e., x-segments. Subscripts p and q may each be the same or different for each x-segment. The following are presented for the purpose of illustrating the various polymer architectures that are represented by general polymer chain structures I and II.

10 Homoblock polymer architecture:

When x is 1, p is 0 and q is 5, general polymer chain structure I represents a homoblock of 5 G residues, as more specifically depicted by the following general formula IV.

IV

15  $-(G)-(G)-(G)-(G)-(G)-$

Diblock copolymer architecture:

When x is 1, p is 5 and q is 5, general polymer chain structure I represents a diblock of 5 M residues and 5 G residues as more specifically depicted by the following general formula V.

V

$-(M)-(M)-(M)-(M)-(M)-(G)-(G)-(G)-(G)-(G)-$

25 Alternating copolymer architecture:

When x is greater than 1, for example, 5, and p and q are each 1 for each x-segment, polymer chain structure I represents an alternating block of M and G residues, as more specifically depicted by the following general formula VI.

VI

30  $-(M)-(G)-(M)-(G)-(M)-(G)-(M)-(G)-(M)-(G)-$

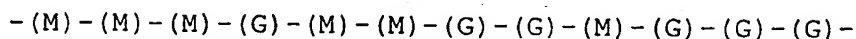
Gradient copolymer architecture:

When x is greater than 1, for example, 3, and p and q are each independently within the range of, for example, 1 to 3, for each x-segment, polymer chain structure I represents a

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gradient block of M and G residues, as more specifically depicted by the following general formula VII.

## VII



5

Gradient copolymers can be prepared from two or more monomers by ATRP methods, and are generally described as having architecture that changes gradually and in a systematic and predictable manner along the polymer backbone. Gradient  
10 copolymers can be prepared by ATRP methods by (a) varying the ratio of monomers fed to the reaction medium during the course of the polymerization, (b) using a monomer feed containing monomers having different rates of polymerization, or (c) a combination of (a) and (b). Gradient copolymers are described  
15 in further detail on pages 72 through 78 of international patent publication WO 97/18247.

With further reference to general polymer chain structures I and II, M represents one or more types of residues that are free of hydroxy functionality, and p  
20 represents the average total number of M residues occurring per block of M residues (M-block) within an x-segment. The  $-(M)_p-$  portion of general structures I and II represents (1) a homoblock of a single type of M residue, (2) an alternating block of two types of M residues, (3) a polyblock of two or  
25 more types of M residues, or (4) a gradient block of two or more types of M residues.

For purposes of illustration, when the M-block is prepared from, for example, 10 moles of methyl methacrylate, the  $-(M)_p-$  portion of structures I and II represents a  
30 homoblock of 10 residues of methyl methacrylate. In the case where the M-block is prepared from, for example, 5 moles of methyl methacrylate and 5 moles of butyl methacrylate, the  $-(M)_p-$  portion of general structures I and II represents, depending on the conditions of preparation, as is known to one  
35 of ordinary skill in the art: (a) a diblock of 5 residues of methyl methacrylate and 5 residues of butyl methacrylate



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having a total of 10 residues (i.e.,  $p = 10$ ); (b) a diblock of 5 residues of butyl methacrylate and 5 residues of methyl methacrylate having a total of 10 residues; (c) an alternating block of methyl methacrylate and butyl methacrylate residues beginning with either a residue of methyl methacrylate or a residue of butyl methacrylate, and having a total of 10 residues; or (d) a gradient block of methyl methacrylate and butyl methacrylate residues beginning with either residues of methyl methacrylate or residues of butyl methacrylate having a total of 10 residues.

Also, with reference to general polymer chain structures I and II, G represents one or more types of residues that have hydroxy functionality, and q represents the average total number of G residues occurring per block of G residues (G-block). Accordingly, the  $-(G)_q-$  portions of polymer chain structures I and II may be described in a manner similar to that of the  $-(M)_p-$  portions provided above.

Residue M of general polymer chain structures I and II is derived from at least one ethylenically unsaturated radically polymerizable monomer. As used herein and in the claims, "ethylenically unsaturated radically polymerizable monomer" and like terms are meant to include vinyl monomers, allylic monomers, olefins and other ethylenically unsaturated monomers that are radically polymerizable.

Classes of vinyl monomers from which M may be derived include, but are not limited to, (meth)acrylates, vinyl aromatic monomers, vinyl halides and vinyl esters of carboxylic acids. As used herein and in the claims, by "(meth)acrylate" and like terms is meant both methacrylates and acrylates. Preferably, residue M is derived from at least one of alkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group. Specific examples of alkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group from which residue M may be derived include, but are not limited to, methyl (meth)acrylate, ethyl (meth)acrylate, propyl (meth)acrylate, isopropyl (meth)acrylate, butyl

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(meth)acrylate, isobutyl (meth)acrylate, tert-butyl (meth)acrylate, 2-ethylhexyl (meth)acrylate, lauryl (meth)acrylate, isobornyl (meth)acrylate, cyclohexyl (meth)acrylate and 3,3,5-trimethylcyclohexyl (meth)acrylate.

5 Residue M may also be selected from monomers having more than one (meth)acrylate group, for example, (meth)acrylic anhydride and diethyleneglycol bis((meth)acrylate). Residue M may also be selected from alkyl (meth)acrylates containing radically transferable groups, which can act as branching  
10 monomers, for example, 2-(2-bromopropionoxy)ethyl acrylate.

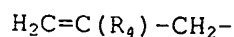
Specific examples of vinyl aromatic monomers from which M may be derived include, but are not limited to, styrene, p-chloromethylstyrene, divinyl benzene, vinyl naphthalene and divinyl naphthalene. Vinyl halides from which M may be  
15 derived include, but are not limited to, vinyl chloride and vinylidene fluoride. Vinyl esters of carboxylic acids from which M may be derived include, but are not limited to, vinyl acetate, vinyl butyrate, vinyl 3,4-dimethoxybenzoate and vinyl benzoate.

20 As used herein and in the claims, by "olefin" and like terms is meant unsaturated aliphatic hydrocarbons having one or more double bonds, such as obtained by cracking petroleum fractions. Specific examples of olefins from which M may be derived include, but are not limited to, propylene, 1-butene,  
25 1,3-butadiene, isobutylene and diisobutylene.

As used herein and in the claims, by "allylic monomer(s)" is meant monomers containing substituted and/or unsubstituted allylic functionality, i.e., one or more radicals represented by the following general formula VIII,

30

VIII



wherein  $\text{R}_4$  is hydrogen, halogen or a  $\text{C}_1$  to  $\text{C}_4$  alkyl group. Most commonly,  $\text{R}_4$  is hydrogen or methyl and consequently general formula VIII represents the unsubstituted (meth)allyl radical.  
35 Examples of allylic monomers include, but are not limited to: (meth)allyl alcohol; (meth)allyl ethers, such as methyl

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(meth)allyl ether; allyl esters of carboxylic acids, such as (meth)allyl acetate, (meth)allyl butyrate, (meth)allyl 3,4-dimethoxybenzoate and (meth)allyl benzoate.

Other ethylenically unsaturated radically polymerizable monomers from which M may be derived include, but are not limited to: cyclic anhydrides, e.g., maleic anhydride, 1-cyclopentene-1,2-dicarboxylic anhydride and itaconic anhydride; esters of acids that are unsaturated but do not have  $\alpha,\beta$ -ethylenic unsaturation, e.g., methyl ester of undecylenic acid; and diesters of ethylenically unsaturated dibasic acids, e.g., diethyl maleate.

Residue G of general polymer chain structures I and II is typically derived from hydroxy functional ethylenically unsaturated radically polymerizable monomer(s) or ethylenically unsaturated radically polymerizable monomer(s) that are converted to hydroxy functional residues after polymerization. Classes of monomers from which residue G may be derived include, but are not limited to: hydroxyalkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group, e.g., 2-hydroxyethyl (meth)acrylate, hydroxypropyl (meth)acrylate, hydroxycyclohexyl (meth)acrylate, 6-hydroxyhexyl (meth)acrylate and 12-hydroxydodecyl (meth)acrylate; hydroxy functional olefins, e.g., 3-buten-1-ol, 3-buten-2-ol, 2-butene-1,4-diol, 1-octen-2-ol and undecylenic alcohol; vinyl esters such as vinyl acetate, which are hydrolyzed to residues of vinyl alcohol after polymerization; allylic esters such as allyl acetate, which are hydrolyzed to residues of allyl alcohol after polymerization; allylic functional monomers that also have hydroxy functionality, e.g., allyl alcohol and 2-allylphenol; vinyl aromatic monomers having hydroxy functionality, e.g., 2-ethenyl-5-methyl phenol, 2-ethenyl-6-methyl phenol and 4-ethenyl-3-methyl phenol; and epoxide functional monomers, which are hydrolyzed or reacted with monofunctional alcohols after polymerization, e.g., glycidyl (meth)acrylate, 3,4-epoxycyclohexylmethyl (meth)acrylate, 2-(3,4-

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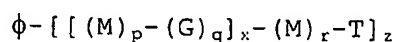
epoxycyclohexyl)ethyl (meth)acrylate and allyl glycidyl ether. In an embodiment of the present invention, residue G is preferably derived from hydroxyalkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group, of which 2-hydroxyethyl (meth)acrylate and hydroxypropyl (meth)acrylate are particularly preferred.

Subscripts p and q represent average numbers of residues occurring in a block of residues in each polymer structure. Typically, p and q each independently have a value of 0 or more, preferably at least 1, and more preferably at least 5 for each of general polymer structures I and II. Also, subscripts p and q each independently have a value of typically less than 100, preferably less than 20, and more preferably less than 15 for each of general polymer structures I and II. The values of subscripts p and q may range between any combination of these values, inclusive of the recited values. Moreover, the sum of p and q is at least 1 within an x-segment and q is at least 1 within at least one x-segment in the polymer.

Subscript x of general polymer structures I and II typically has a value of at least 1. Also, subscript x typically has a value of less than 100, preferably less than 50, and more preferably less than 10. The value of subscript x may range between any combination of these values, inclusive of the recited values. If more than one of the structures I and/or II occur in the polymer molecule, x may have different values for each structure (as may p and q), allowing for a variety of polymer architectures such as gradient copolymers.

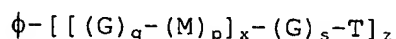
The hydroxy functional polymer of the present invention may be further described as having at least one of the following general polymer chain structures IX and X:

IX



and

X

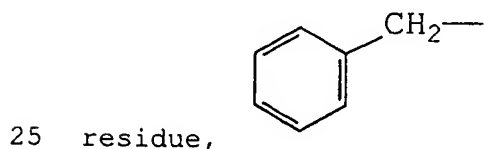


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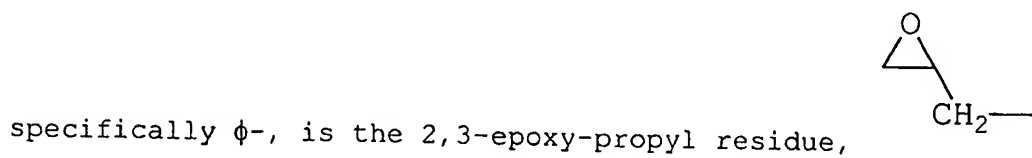
wherein p, q, x, M and G have the same meanings as previously described herein. The subscripts r and s represent average numbers of residues occurring in the respective blocks of M and G residues. The  $-(M)_r-$  and  $-(G)_s-$  portions of general formulas IX and X have meanings similar to those as previously described herein with regard to portions  $-(M)_p-$  and  $-(G)_q-$ .

The structures IX and X can represent the polymer itself or, alternatively, each of the structures can comprise a terminal segment of the polymer. For example, where z is 1, the structures IX and X can represent a linear polymer, prepared by ATRP using an initiator having 1 radically transferable group. Where z is 2, the structures IX and X can represent a linear "leg" extending from the residue of an initiator having 2 radically transferable groups. Alternatively, where z is greater than 2, the structures IX and X can each represent an "arm" of a star polymer prepared by ATRP, using an initiator having more than 2 radically transferable groups.

Symbol  $\phi$  of general formulas IX and X is or is derived from the residue of the initiator used in the ATRP preparation of the polymer, and is free of the radically transferable group of the initiator. For example, when the hydroxy functional polymer is initiated in the presence of benzyl bromide, the symbol  $\phi$ , more specifically  $\phi-$ , is the benzyl



The symbol  $\phi$  may also be derived from the residue of the initiator. For example, when the hydroxy functional polymer is initiated using epichlorohydrin the symbol  $\phi$ , more



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The 2,3-epoxy-propyl residue can then be converted to, for example, a 2,3-dihydroxypropyl residue.

In general formulas IX and X, subscript  $z$  is equal to the number of hydroxy functional polymer chains that are attached to  $\phi$ . Subscript  $z$  is at least 1 and may have a wide range of values. In the case of comb or graft polymers, wherein  $\phi$  is a macroinitiator having several pendent radically transferable groups,  $z$  can have a value in excess of 10, for example 50, 100 or 1000. Typically,  $z$  is less than 10, preferably less than 6 and more preferably less than 5. In a preferred embodiment of the present invention,  $z$  is 1 or 2.

Symbol  $T$  of general formulas IX and X is or is derived from the radically transferable group of the initiator. For example, when the hydroxy functional polymer is prepared in the presence of diethyl-2-bromo-2-methyl malonate,  $T$  may be the radically transferable bromo group.

The radically transferable group may optionally be (a) removed or (b) chemically converted to another moiety. In either of (a) or (b), the symbol  $T$  is considered herein to be derived from the radically transferable group of the initiator. The radically transferable group may be removed by substitution with a nucleophilic compound, e.g., an alkali metal alkoxylate. However, in the present invention, it is desirable that the method by which the radically transferable group is either removed or chemically converted, also be relatively mild, i.e., not appreciably affecting or damaging the polymer backbone.

In a preferred embodiment of the present invention, when the radically transferable group is a halogen, the halogen can be removed by means of a mild dehalogenation reaction. The reaction is typically performed as a post-reaction after the polymer has been formed, and in the presence of at least an ATRP catalyst. Preferably, the dehalogenation post-reaction is performed in the presence of both an ATRP catalyst and its associated ligand.

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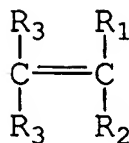
The mild dehalogenation reaction is performed by contacting the halogen terminated hydroxy functional polymer of the present invention with one or more ethylenically unsaturated compounds, which are not readily radically  
5 polymerizable under at least a portion of the spectrum of conditions under which atom transfer radical polymerizations are performed, hereinafter referred to as "limited radically polymerizable ethylenically unsaturated compounds" (LRPEU compound). As used herein, by "halogen terminated" and  
10 similar terms is meant to be inclusive also of pendent halogens, e.g., as would be present in branched, comb and star polymers.

Not intending to be bound by any theory, it is believed, based on the evidence at hand, that the reaction between the  
15 halogen terminated hydroxy functional polymer and one or more LRPEU compounds results in (1) removal of the terminal halogen group, and (2) the addition of at least one carbon-carbon double bond where the terminal carbon-halogen bond is broken. The dehalogenation reaction is typically conducted at a  
20 temperature in the range of 0°C to 200°C, e.g., from 0°C to 160°C, a pressure in the range of 0.1 to 100 atmospheres, e.g., from 0.1 to 50 atmospheres. The reaction is also typically performed in less than 24 hours, e.g., between 1 and 8 hours. While the LRPEU compound may be added in less than a  
25 stoichiometric amount, it is preferably added in at least a stoichiometric amount relative to the moles of terminal halogen present in the hydroxy functional polymer. When added in excess of a stoichiometric amount, the LRPEU compound is typically present in an amount of no greater than 5 mole  
30 percent, e.g., 1 to 3 mole percent, in excess of the total moles of terminal halogen.

Limited radically polymerizable ethylenically unsaturated compounds useful for dehalogenating the hydroxy functional polymer of the composition of the present invention under mild  
35 conditions include those represented by the following general formula XI.

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XI



In general formula XI,  $R_1$  and  $R_2$  can be the same or different organic groups such as: alkyl groups having from 1 to 4 carbon  
5 atoms; aryl groups; alkoxy groups; ester groups; alkyl sulfur groups; acyloxy groups; and nitrogen-containing alkyl groups where at least one of the  $R_1$  and  $R_2$  groups is an organo group while the other can be an organo group or hydrogen. For instance when one of  $R_1$  or  $R_2$  is an alkyl group, the other can  
10 be an alkyl, aryl, acyloxy, alkoxy, arenes, sulfur-containing alkyl group, or nitrogen-containing alkyl and/or nitrogen-containing aryl groups. The  $R_3$  groups can be the same or different groups selected from hydrogen or lower alkyl selected such that the reaction between the terminal halogen  
15 of the hydroxy functional polymer and the LRPEU compound is not prevented. Also an  $R_3$  group can be joined to the  $R_1$  and/or the  $R_2$  groups to form a cyclic compound.

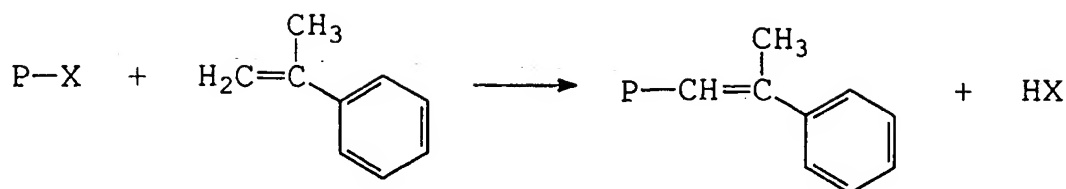
It is preferred that the LRPEU compound be free of halogen groups. Examples of suitable LRPEU compounds include,  
20 but are not limited to, 1,1-dimethylethylene, 1,1-diphenylethylene, isopropenyl acetate, alpha-methyl styrene, 1,1-dialkoxy olefin and mixtures thereof. Additional examples include dimethyl itaconate and diisobutene (2,4,4-trimethyl-1-pentene).

25 For purposes of illustration, the reaction between halogen terminated hydroxy functional polymer and LRPEU compound, e.g., alpha-methyl styrene, is summarized in the following general scheme 1.



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## General Scheme 1



In general scheme 1, P-X represents the halogen terminated hydroxy functional polymer.

- 5 For each of general polymer structures IX and X, the subscripts r and s each independently have a value of 0 or more. Subscripts r and s each independently have a value of typically less than 100, preferably less than 50, and more preferably less than 10, for each of general polymer
- 10 structures IX and X. The values of r and s may each range between any combination of these values, inclusive of the recited values.

The hydroxy functional polymer typically has a hydroxy equivalent weight of at least 100 grams / equivalent, and

15 preferably at least 200 grams / equivalent. The hydroxy equivalent weight of the polymer is also typically less than 10,000 grams / equivalent, preferably less than 5,000 grams / equivalent, and more preferably less than 1,000 grams / equivalent. The hydroxy equivalent weight of the hydroxy

20 functional polymer may range between any combination of these values, inclusive of the recited values.

The number average molecular weight (Mn) of the hydroxy functional polymer is typically at least 250, more typically at least 500, preferably at least 1,000, and more preferably

25 at least 2,000. The hydroxy functional polymer also typically has a Mn of less than 16,000, preferably less than 10,000, and more preferably less than 5,000. The Mn of the hydroxy functional polymer may range between any combination of these values, inclusive of the recited values.

30 The hydroxy functional polymer may be used in the thermosetting composition of the present invention as a resinous binder or as an additive with a separate resinous

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binder, which may be prepared by ATRP or by conventional polymerization methods. When used as an additive, the hydroxy functional polymer as described herein typically has low functionality, e.g., it may be monofunctional, and a  
5 correspondingly high equivalent weight.

The hydroxy functional polymer (b) is typically present in the thermosetting composition of the present invention in an amount of at least 0.5 percent by weight, more typically at least 40 percent by weight, preferably at least 55 percent by  
10 weight, and more preferably at least 70 percent by weight, based on total weight of resin solids of the thermosetting composition. The thermosetting composition also typically contains hydroxy functional polymer present in an amount of less than 99 percent by weight, more typically less than 95  
15 percent by weight, preferably less than 90 by weight, and more preferably less than 85 percent by weight, based on total weight of resin solids of the thermosetting composition. The hydroxy functional polymer may be present in the thermosetting composition of the present invention in an amount ranging  
20 between any combination of these values, inclusive of the recited values.

The thermosetting composition of the present invention may optionally further comprise other binder materials having active hydrogen groups that are reactive with isocyanate  
25 functionality. The active hydrogen functionality of such optional binder materials may be selected from the group consisting of hydroxyl, thiol, primary amine, secondary amine and mixtures thereof. Optional binder materials having hydroxy and/or thiol functionality, and in particular hydroxy  
30 functionality are preferred. Examples of optional binder materials include, but are not limited to, polyesters, urethanes and crystalline aliphatic materials having from 4 to 20 carbon atoms.

Hydroxy functional polyesters can be prepared by art-  
35 recognized methods. Typically, diols and dicarboxylic acids or diesters of dicarboxylic acids are reacted in a proportion

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such that the molar equivalents of hydroxy groups is greater than that of carboxylic acid groups (or esters of carboxylic acid groups) with the concurrent removal of water or alcohols from the reaction medium. Optionally, relatively small

5 amounts of trifunctional alcohols and/or carboxylic acids (or esters thereof) may be incorporated into the reaction medium for the purposes of increasing branching. Aliphatic and cycloaliphatic diols and dicarboxylic acids are preferred.

Hydroxy and/or thiol functional urethanes can be prepared  
10 by art-recognized methods. Generally, diols, thiols or materials containing both hydroxyl and thiol groups, and diisocyanates are reacted in a proportion such that the molar equivalents of active hydrogen functionality is greater than that of the isocyanate groups. Optionally, relatively small  
15 amounts of trifunctional alcohols, thiols or isocyanates may be incorporated into the reaction medium for the purposes of increasing branching. The hydroxyl, thiol, hydroxyl and thiol, and isocyanate functional reactants are preferably aliphatic and/or cycloaliphatic. The number average molecular  
20 weight of active hydrogen group containing polyesters and polyurethanes useful as optional binding materials is typically less than 20,000, for example, between 500 and 10,000.

Examples of crystalline aliphatic materials that may be  
25 used as optional binder materials in the composition of the present invention, include, but are not limited to, tris(hydroxyethyl)isocyanurate, trimethylolpropane, and 1,2-, 1,3- and 1,4-cyclohexanediol.

Optional binder materials having active hydrogen  
30 functionality that is reactive with isocyanate can be used in the compositions of the present invention to optimize, for example, flow and final cured film properties, such as weatherability. When used, such optional binder materials are typically present in the compositions of the present  
35 invention in amounts of less than 50 percent by weight, e.g.,

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between 1 and 35 percent by weight, based on total weight of resin solids.

The thermosetting composition of the present invention also comprises one or more capped polyisocyanate crosslinking agents. By "capped polyisocyanate crosslinking agent" is meant a crosslinking agent having two or more capped isocyanate groups that can decap (or deblock) under cure conditions, e.g., at elevated temperature, to form free isocyanate groups and free capping groups. The free isocyanate groups formed by decapping of the crosslinking agent are preferably capable of reacting and forming substantially permanent covalent bonds with the active hydrogen groups of the binder, e.g., the hydroxy groups of hydroxy functional polymer (b).

It is desirable that the capping group of the capped polyisocyanate crosslinking agent not adversely affect the composition of the present invention upon decapping from the polyisocyanate, i.e., when it becomes a free capping group. For example, when the composition of the present invention is used as a powder coating, it is desirable that the free capping group neither become trapped in the cured film as gas bubbles nor excessively plastisize the cured film. Capping groups useful in the present invention preferably have the characteristics of being nonfugitive or capable of escaping from the forming polymerizate prior to its vitrification.

The capping groups of the capped polyisocyanate crosslinking agent may be selected from hydroxy functional compounds, 1H-azoles, lactams, ketoximes and mixtures thereof. Classes of hydroxy functional compounds include, for example, aliphatic, cycloaliphatic, or aromatic alkyl monoalcohols or phenolics. Specific examples of hydroxy functional compounds useful as capping agents, include, but are not limited to: lower aliphatic alcohols such as methanol, ethanol, and n-butanol; cycloaliphatic alcohols such as cyclohexanol and tetrahydrofuran; aromatic-alkyl alcohols, such as phenyl carbinol and methylphenyl carbinol; and glycol ethers, e.g.,

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ethylene glycol butyl ether, diethylene glycol butyl ether, ethylene glycol methyl ether and propylene glycol methyl ether. A particularly useful class of hydroxy functional capping groups are the phenolics, examples of which include, but are not limited to, phenol itself and substituted phenols, such as cresol, nitrophenol and p-hydroxy methylbenzoate.

Examples of 1H-azoles that are useful as capping groups include, but are not limited to 1H-imidazole, 1H-pyrazole, 1H-3,5-dimethyl pyrazole, 1H-2,5-dimethyl pyrazole, 1H-1,2,3-triazole, 1H-1,2,3-benzotriazole, 1H-1,2,4-triazole, 1H-5-methyl-1,2,4-triazole, and 1H-3-amino-1,2,4-triazole.

Ketoximes useful as capping groups include those prepared from aliphatic or cycloaliphatic ketones. Examples of ketoxime capping groups include, but are limited to, 2-propanone oxime (acetone oxime), 2-butanone oxime, 2-pentanone oxime, 3-pentanone oxime, 3-methyl-2-butanone oxime, 4-methyl-2-pentanone oxime, 3,3-dimethyl-2-butanone oxime, 2-heptanone oxime, 3-heptanone oxime, 4-heptanone oxime, 5-methyl-3-heptanone oxime, 2,6-dimethyl-4-heptanone oxime, cyclopentanone oxime, cyclohexanone oxime, 3-methylcyclohexanone oxime, 3,3,5-trimethylcyclohexanone oxime and 3,5,5-trimethyl-2-cyclohexene-5-one oxime.

Examples of lactam capping groups include, but are not limited to, ε-caprolactam and 2-pyrrolidinone. Other suitable capping groups include, morpholine, 3-aminopropyl morpholine and N-hydroxy phthalimide. In a preferred embodiment of the present invention, the capping group of the capped polyisocyanate crosslinking agent is selected from the group consisting of phenol, p-hydroxy methylbenzoate, 1H-1,2,4-triazole, 1H-2,5-dimethyl pyrazole, 2-propanone oxime, 2-butanone oxime, cyclohexanone oxime, ε-caprolactam and mixtures thereof.

The polyisocyanate or mixture of polyisocyanates of the capped polyisocyanate crosslinking agent has two or more isocyanate groups and is preferably solid at room temperature. Examples of suitable polyisocyanates that may be used to

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prepare the capped polyisocyanate crosslinking agent include, but are not limited to, the following diisocyanate monomers: 1,4-tetramethylene diisocyanate; 1,6-hexamethylene diisocyanate; 2,2,4-trimethyl-1,6-hexamethylene diisocyanate; 5 1,12-dodecamethylene diisocyanate; cyclohexane diisocyanate, including cyclohexane-1,3- and/or -1,4-diisocyanate; 1-isocyanato-2-isocyanatomethyl cyclopentane; 1-isocyanato-3-isocyanatomethyl-3,5,5-trimethylcyclohexane (isophorone diisocyanate or IPDI); diisocyanato-dicyclohexylmethane, 10 including 4,4'- and/or 2,4'-diisocyanato-dicyclohexylmethane; bis(isocyanatomethyl)cyclohexane, including 1,3- and/or 1,4-bis(isocyanatomethyl)cyclohexane; bis(4-isocyanato-3-methylcyclohexyl)methane;  $\alpha,\alpha'$ -xylylene diisocyanate;  $\alpha,\alpha,\alpha',\alpha'$ -tetramethylxylylene diisocyanate, including 15  $\alpha,\alpha,\alpha',\alpha'$ -tetramethyl-1,3- and/or -1,4-xylylene diisocyanate; 1-isocyanato-1-methyl-4(or 3)-isocyanatomethyl cyclohexane; 2,4- and 2,6-hexahydrotolulene diisocyanate; 2,4- and 2,6-toluene diisocyanate; 2,4- and 4,4'-diphenylmethane diisocyanate; and mixtures of these diisocyanates.

20 Also useful in the capped polyisocyanate crosslinking agent of the present invention, are polyisocyanates prepared from dimers and trimers of diisocyanate monomers. Dimers and trimers of diisocyanate monomers can be prepared by methods known to those of ordinary skill in the art, for example, as 25 described in United States Patent No. 5,777,061 at column 3, line 44 through column 4, line 40. Dimers and trimers of the above recited diisocyanate monomers may contain linkages selected from the group consisting of isocyanurate, uretdione, biuret, allophanate and combinations thereof.

30 In a preferred embodiment of the present invention, the polyisocyanate of the capped polyisocyanate crosslinking agent is selected from the group consisting of 1,6-hexamethylene diisocyanate, cyclohexane diisocyanate,  $\alpha,\alpha'$ -xylylene diisocyanate,  $\alpha,\alpha,\alpha',\alpha'$ -tetramethylxylylene diisocyanate, 1- 35 isocyanato-3,3,5-trimethyl-5-isocyanatomethylcyclohexane, diisocyanato-dicyclohexylmethane, dimers of said

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polyisocyanates, trimers of said polyisocyanates and mixtures thereof. A particularly preferred polyisocyanate is a trimer of 1-isocyanato-3,3,5-trimethyl-5-isocyanatomethylcyclohexane.

The crosslinking agent may also be selected from the group consisting of (i) capped polyisocyanate functional polymer having at least two capped isocyanate groups, (ii) oligomeric capped polyisocyanate functional adduct and mixtures thereof. The capped polyisocyanate functional polymer and oligomeric capped polyisocyanate functional adduct may each contain structural linkages selected from the group consisting of urethane, i.e.,  $\text{-NH-C(O)-O-}$ , thiourethane, i.e.,  $\text{-NH-C(O)-S-}$ , urea, e.g.,  $\text{-NH-C(O)-NH-}$ , and combinations of these structural linkages. The capped polyisocyanate polymer can be prepared, by art-recognized methods, from one or more monomers having at least two reactive hydrogen groups, e.g., thiol, hydroxy, primary amine and secondary amine groups, and one or more monomers having two or more isocyanate groups. The molar equivalent ratio of reactive hydrogen groups to isocyanate groups is selected such that the resulting polymer will have the desired end groups, i.e., isocyanate groups. After the prepolymer has been formed, the isocyanate end groups are then capped with a capping group. The number average molecular weight ( $M_n$ ) of the capped polyisocyanate functional polymer is typically less than 20,000, for example, between 1,000 and 10,000.

In an embodiment of the present invention, the capped polyisocyanate functional polymer is a capped polyisocyanate functional polyurethane prepared from aliphatic diols and aliphatic diisocyanates. Optionally, the capped polyisocyanate functional polyurethane may be prepared using relatively small amounts of monomers having three or more functional groups, e.g., triols and/or tiisocyanates, to increase the functionality and branching of the polyurethane, as is known to those of ordinary skill in the art.

As used herein and in the claims, by "oligomeric capped polyisocyanate functional adduct" is meant a material that is

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substantially free of polymeric chain extension. Oligomeric capped polyisocyanate functional adducts can be prepared by art-recognized methods from, for example, a compound containing three or more active hydrogen groups, e.g.,  
5 trimethylolpropane (TMP), and an isocyanate monomer, e.g., 1-isocyanato-3,3,5-trimethyl-5-isocyanatomethylcyclohexane (IPDI), in a molar ratio of 1 : 3, respectively. In the case of TMP and IPDI, by employing art-recognized starved feed and/or dilute solution synthesis techniques, an oligomeric  
10 adduct having an average isocyanate functionality of 3 can be prepared ("TMP-3IPDI"). The three free isocyanate groups per TMP-3IPDI adduct are then capped with a capping group, e.g., 2-propanone oxime or  $\epsilon$ -caprolactam.

Depending on the type of active hydrogen group containing  
15 compound(s) used, e.g., polyols, polyamines and polythiols, the oligomeric capped polyisocyanate functional adduct may contain structural linkages selected from the group consisting of urethane, thiourethane, urea and combinations thereof, as described previously herein. The active hydrogen group  
20 containing compound is preferably aliphatic, e.g., TMP, trishydroxyisocyanurate, pentaerythritol and trimethylolpropane tris(mercaptoacetate). The isocyanate monomer is preferably a diisocyanate monomer and may be selected from those described previously herein. The capping  
25 group may be selected from those described previously herein.

It is to be understood that the scope of the present invention is inclusive of the capped polyisocyanate crosslinking agent comprising one or more of the following: capped diisocyanate monomers; capped dimers and/or trimers of  
30 diisocyanate monomers; capped polyisocyanate functional polymers; and oligomeric capped polyisocyanate functional adducts, each as described previously herein.

The capped polyisocyanate crosslinking agent is typically present in the thermosetting compositions of the present  
35 invention in an amount of at least 1 percent by weight, preferably at least 5 percent by weight, and more preferably



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at least 10 percent by weight, based on total resin solids weight of the composition. The capped polyisocyanate crosslinking agent is also typically present in the composition in an amount of less than 45 percent by weight, preferably less than 35 percent by weight, and more preferably less than 25 percent by weight, based on total resin solids weight of the composition. The amount of capped polyisocyanate crosslinking agent present in the thermosetting composition of the present invention may range between any combination of these values, inclusive of the recited values.

The equivalent ratio of isocyanate equivalents in the capped polyisocyanate crosslinking agent (a) to hydroxy equivalents in the hydroxy functional polymer (b) is typically within the range of 1 : 3 to 3 : 1, e.g., 1 : 2 to 2 : 1. While equivalent ratios outside of this range are within the scope of the present invention, they are generally less desirable due to performance deficiencies in cured films obtained therefrom.

The thermosetting composition of the present invention usually also includes one or more cure catalysts for catalyzing the reaction between the isocyanate groups of the capped polyisocyanate crosslinking agent (a) and the hydroxy groups of the hydroxy functional polymer (b). Classes of useful catalysts include, metal compounds, in particular, organic tin compounds, and tertiary amines. Examples of organic tin compounds include, but are not limited to: tin(II) salts of carboxylic acids, e.g., tin(II) acetate, tin(II) octanoate, tin(II) ethylhexanoate and tin(II) laurate; tin(IV) compounds, e.g., dibutyltin oxide, dibutyltin dichloride, dibutyltin diacetate, dibutyltin dilaurate, dibutyltin maleate and dioctyltin diacetate. Examples of suitable tertiary amine catalysts include, but are not limited to, diazabicyclo[2.2.2]octane and 1,5-diazabicyclo[4.3.0]non-5-ene. Preferred catalysts include, tin(II) octanoate and dibutyltin(IV) dilaurate.

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The thermosetting composition of the present invention may also include pigments and fillers. Examples of pigments include, but are not limited to, inorganic pigments, e.g., titanium dioxide and iron oxides, organic pigments, e.g., phthalocyanines, anthraquinones, quinacridones and thioindigos, and carbon blacks. Examples of fillers include, but are not limited to, silica, e.g., precipitated silicas, clay, and barium sulfate. When used in the composition of the present invention, pigments and fillers are typically present in amounts of from 0.1 percent to 70 percent by weight, based on total weight of the thermosetting composition. More often, the thermosetting composition of the present invention is used as a clear composition being substantially free of pigments and fillers.

The thermosetting composition of the present invention may optionally contain additives such as waxes for flow and wetting, flow control agents, e.g., poly(2-ethylhexyl)acrylate, degassing additives such as benzoin, adjuvant resin to modify and optimize coating properties, antioxidants and ultraviolet (UV) light absorbers. Examples of useful antioxidants and UV light absorbers include those available commercially from Ciba-Geigy under the trademarks IRGANOX and TINUVIN. These optional additives, when used, are typically present in amounts up to 20 percent by weight, based on total weight of the thermosetting composition.

The thermosetting composition of the present invention is typically prepared by first dry blending the hydroxy functional polymer, the crosslinking agent and additives, such as flow control agents, degassing agents and catalysts, in a blender, e.g., a Henshel blade blender. The blender is operated for a period of time sufficient to result in a homogenous dry blend of the materials charged thereto. The homogenous dry blend is then melt blended in an extruder, e.g., a twin screw co-rotating extruder, operated within a temperature range of 80°C to 140°C, e.g., from 100°C to 125°C. The extrudate of the thermosetting composition of the present

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invention is cooled and, when used as a powder coating composition, is typically milled to an average particle size of from, for example, 15 to 30 microns.

In accordance with the present invention there is also  
5 provided, a method of coating a substrate comprising:

(a) applying to said substrate a thermosetting composition;

(b) coalescing said thermosetting composition to form a substantially continuous film; and

10 (c) curing said thermosetting composition by the application of heat, wherein said thermosetting composition comprises a co-reactable solid, particulate mixture as previously described herein.

The thermosetting composition of the present invention  
15 may be applied to the substrate by any appropriate means that are known to those of ordinary skill in the art. Generally, the thermosetting composition is in the form of a dry powder and is applied by spray application. Alternatively, the powder can be slurried in a liquid medium such as water, and  
20 spray applied. Where the language "co-reactable solid, particulate mixture" is used in the specification and claims, the thermosetting composition can be in dry powder form or in the form of a slurry.

When the substrate is electrically conductive, the  
25 thermosetting composition is typically electrostatically applied. Electrostatic spray application generally involves drawing the thermosetting composition from a fluidized bed and propelling it through a corona field. The particles of the thermosetting composition become charged as they pass through  
30 the corona field and are attracted to and deposited upon the electrically conductive substrate, which is grounded. As the charged particles begin to build up, the substrate becomes insulated, thus limiting further particle deposition. This insulating phenomenon typically limits the film build of the  
35 deposited composition to a maximum of 3 to 6 mils (75 to 150 microns).

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Alternatively, when the substrate is not electrically conductive, for example as is the case with many plastic substrates, the substrate is typically preheated prior to application of the thermosetting composition. The preheated  
5 temperature of the substrate is equal to or greater than that of the melting point of the thermosetting composition, but less than its cure temperature. With spray application over preheated substrates, film builds of the thermosetting composition in excess of 6 mils (150 microns) can be achieved,  
10 e.g., 10 to 20 mils (254 to 508 microns). Substrates that may be coated by the method of the present invention include, for example, ferrous substrates, aluminum substrates, plastic substrates, e.g., sheet molding compound based plastics, and wood.

15 After application to the substrate, the thermosetting composition is then coalesced to form a substantially continuous film. Coalescing of the applied composition is generally achieved through the application of heat at a temperature equal to or greater than that of the melting point  
20 of the composition, but less than its cure temperature. In the case of preheated substrates, the application and coalescing steps can be achieved in essentially one step.

The coalesced thermosetting composition is next cured by the application of heat. As used herein and in the claims, by  
25 "cured" is meant a three dimensional crosslink network formed by covalent bond formation, e.g., between the free isocyanate groups of the crosslinking agent and the hydroxy groups of the polymer. The temperature at which the thermosetting composition of the present invention cures is variable and  
30 depends in part on the type and amount of catalyst used. Typically, the thermosetting composition has a cure temperature within the range of 130°C to 160°C, e.g., from 140°C to 150°C.

In accordance with the present invention there is further  
35 provided, a multi-component composite coating composition comprising:

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(a) a base coat deposited from a pigmented film-forming composition; and

(b) a transparent top coat applied over said base coat, wherein said transparent top coat is deposited from a clear film-forming thermosetting composition comprising a co-reactable solid, particulate mixture as previously described herein. The multi-component composite coating composition as described herein is commonly referred to as a color-plus-clear coating composition.

10 The pigmented film-forming composition from which the base coat is deposited can be any of the compositions useful in coatings applications, particularly automotive applications in which color-plus-clear coating compositions are extensively used. Pigmented film-forming compositions conventionally  
15 comprise a resinous binder and a pigment to act as a colorant. Particularly useful resinous binders are acrylic polymers, polyesters including alkyds, and polyurethanes.

The resinous binders for the pigmented film-forming base coat composition can be organic solvent-based materials such  
20 as those described in U.S. Patent No. 4,220,679, note column 2 line 24 through column 4, line 40. Also, water-based coating compositions such as those described in U.S. Patents 4,403,003, 4,147,679 and 5,071,904 can be used as the binder in the pigmented film-forming composition.

25 The pigmented film-forming base coat composition is colored and may also contain metallic pigments. Examples of suitable pigments can be found in U.S. Patents 4,220,679, 4,403,003, 4,147,679 and 5,071,904.

Ingredients that may be optionally present in the  
30 pigmented film-forming base coat composition are those which are well known in the art of formulating surface coatings and include surfactants, flow control agents, thixotropic agents, fillers, anti-gassing agents, organic co-solvents, catalysts, and other customary auxiliaries. Examples of these optional  
35 materials and suitable amounts are described in the

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aforementioned U.S. Patents 4,220,679, 4,403,003, 4,147,769 and 5,071,904.

The pigmented film-forming base coat composition can be applied to the substrate by any of the conventional coating techniques such as brushing, spraying, dipping or flowing, but are most often applied by spraying. The usual spray techniques and equipment for air spraying, airless spray and electrostatic spraying employing either manual or automatic methods can be used. The pigmented film-forming composition is applied in an amount sufficient to provide a base coat having a film thickness typically of 0.1 to 5 mils (2.5 to 125 microns) and preferably 0.1 to 2 mils (2.5 to 50 microns).

After deposition of the pigmented film-forming base coat composition on to the substrate, and prior to application of the transparent top coat, the base coat can be cured or alternatively dried. In drying the deposited base coat, organic solvent and/or water, is driven out of the base coat film by heating or the passage of air over its surface. Suitable drying conditions will depend on the particular base coat composition used and on the ambient humidity in the case of certain water-based compositions. In general, drying of the deposited base coat is performed over a period of from 1 to 15 minutes and at a temperature of 21°C to 93°C.

The transparent top coat is applied over the deposited base coat by any of the methods by which powder coatings are known to be applied. Preferably the transparent top coat is applied by electrostatic spray application, as described previously herein. When the transparent top coat is applied over a deposited base coat that has been dried, the two coatings can be co-cured to form the multi-component composite coating composition of the present invention. Both the base coat and top coat are heated together to conjointly cure the two layers. Typically, curing conditions of 130°C to 160°C for a period of 20 to 30 minutes are employed. The transparent top coat typically has a thickness within the

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range of 0.5 to 6 mils (13 to 150 microns), e.g., from 1 to 3 mils (25 to 75 microns).

The present invention is more particularly described in the following examples, which are intended to be illustrative only, since numerous modifications and variations therein will be apparent to those skilled in the art. Unless otherwise specified, all parts and percentages are by weight.

#### Synthesis Examples A and B

10        Synthesis Examples A and B describe the preparation of hydroxy functional acrylic polymers that are used in the powder coating compositions of Examples 1 and 2. The hydroxy functional polymer of Example A is a comparative polymer prepared by non-living radical polymerization. The hydroxy  
15 functional polymer of Example B is representative of a polymer useful in the thermosetting coating compositions of the present invention. The physical properties of the polymers of Examples A and B are summarized in Table 1.

20        In synthesis Examples A and B, the following monomer abbreviations are used: methyl methacrylate (MMA); n-butyl methacrylate (n-BMA); and hydroxypropyl methacrylate (HPMA).

#### Example A

25        A comparative hydroxy functional polymer was prepared by standard, i.e., non-controlled or non-living, radical polymerization from the ingredients enumerated in Table A.

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Table A		
Ingredients		Parts by weight
<u>Charge 1</u>		
5 toluene		700
initiator (a)		40
<u>Charge 2</u>		
MMA		700
n-BMA		200
10 HPMA		100

(a) 2,2'-azobis(2-methylbutanenitrile) initiator, obtained commercially from E.I. du Pont de Nemours and Company.

Charge 1 was heated to reflux temperature (at about  
15 115°C) at atmospheric pressure under a nitrogen blanket in a 2 liter round bottom flask equipped with a rotary blade agitator, reflux condenser, thermometer and heating mantle coupled together in a feed-back loop through a temperature controller, nitrogen inlet port, and two addition ports.  
20 After holding Charge 1 for 30 minutes at reflux, Charge 2 was added over a period of 1 hour with continued reflux. With the completion of the addition of Charge 2, the contents of the flask were held at reflux for an additional 3 hours. The contents of the flask were then vacuum stripped. While still  
25 molten, the stripped contents of the flask were transferred to a suitable shallow open container and allowed to cool to room temperature and harden. The solidified resin was then broken into smaller pieces, which were transferred to a suitable closed container for storage.

30

#### Example B

A hydroxy functional polymer useful in the thermosetting compositions of the present invention was prepared by atom transfer radical polymerization from the ingredients listed in  
35 Table B.



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Table B		
Ingredients		Parts by weight
	toluene	350
5	copper(II) bromide (b)	2.0
	copper powder (c)	2.2
	2,2'-bypyridyl	7.4
	diethyl-2-bromo-2-methylmalonate	50.6
	MMA	704
10	n-BMA	202
	HPMA	100

(b) The copper(II) bromide was in the form of flakes and was obtained from Aldrich Chemical Company.

- 15 (c) The copper powder had an average particle size of 25 microns, a density of 1 gram/cm<sup>3</sup>, and was obtained commercially from OMG Americas.

The ingredients were added to a 2 liter 4-necked flask  
20 equipped with a motor driven stainless steel stir blade, water cooled condenser, and a heating mantle and thermometer connected through a temperature feed-back control device. The contents of the flask were heated to and held at 85°C for 4 hours. The contents of the flask were then cooled, filtered  
25 and the solvent was removed by means of vacuum stripping. While still molten, the stripped contents of the flask were transferred to a suitable shallow open container and allowed to cool to room temperature and harden. The solidified resin was then broken into smaller pieces, which were transferred to  
30 a suitable closed container for storage.

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**Table 1**  
Physical Data of the  
Polymers of Synthesis Examples A and B

	Example A	Example B
Mn (d)	2500	3770
Mw (d)	4625	4863
PDI (e)	1.85	1.29
Tg onset (°C) (f)	74.6	47.6
Tg midpoint (°C) (f)	79.3	56.5
Tg endpoint (°C) (f)	84.5	70.6
Melt Viscosity at 200°C (poise) (g)	151	53
Melt Viscosity at 185°C (poise) (g)	296	128
Hydroxy Equivalent Weight (h)	959	925
Percent Weight Solids (i)	100	100

5

(d) The molecular weight data was obtained by means of gel permeation chromatography using polystyrene standards. The abbreviations are summarized as follows: number average molecular weight (Mn); and weight average molecular weight (Mw).

10

(e) Polydispersity index (PDI) = (Mw/Mn).

(f) Glass transition temperature (Tg) onset, midpoint and endpoint values were determined by means of differential scanning calorimetry (DSC). The polymer samples underwent a stress release cycle followed by heating at a rate of 10°C/minute.

(g) Melt viscosities at 200°C and 180°C were determined using a Brookfield CAP 2000 High Temperature Viscometer.

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(h) Hydroxy equivalent weight was determined by esterification of the polymer samples with excess acetic anhydride. The excess acetic anhydride was converted to acetic acid by hydrolysis and titrated potentiometrically with potassium hydroxide. Hydroxy equivalent weight is shown in units of grams of resin / equivalent of hydroxyl.

(i) Percent weight solids, based on total weight was determined from 0.2 gram samples at 110°C / 1 hour.

Powder Coating Composition Examples 1 and 2

Powder coating Example 2 is representative of a thermosetting coating composition according to the present invention, while powder coating Example 1 is a comparative thermosetting coating composition example. The powder coating compositions were prepared from the ingredients enumerated in Table 2.

20

**Table 2**  
Powder Coating Compositions

Ingredient	Example 1	Example 2
Polymer of Example A	10	0
Polymer of Example B	0	10
Capped polyisocyanate crosslinker (j)	2.3	2.3
triphenyltinhydroxide	0.1	0.1
Flow Control Agent (k)	0.1	0.1
Benzoin	0.1	0.1

(j) VESTANAT B1358 e-caprolactam capped polyisocyanate, having an isocyanate (NCO) equivalent weight of 340 grams of resin / equivalent of NCO, which is commercially available from Huls America Inc.

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(k) TROY 570 flow control agent, commercially available from Troy Corporation.

The ingredients listed in Table 2 were melt mixed by hand using a spatula on a hot plate at a temperature of 175°C (347°F). The melt-mixed compositions were then coarsely ground by hand using a mortar and pestle. The course particulate thermosetting coating compositions of Examples 1 and 2 were found to have 175°C (347°F) melt viscosities of 35 poise and 28 poise respectively. The melt viscosities were determined using a temperature controlled cone and plate viscometer manufactured by Research Equipment (London) Ltd. These results show that a thermosetting coating composition according to the present invention, i.e., Example 2, has a lower melt viscosity than that of a comparative thermosetting coating composition, i.e., Example 1.

The present invention has been described with reference to specific details of particular embodiments thereof. It is not intended that such details be regarded as limitations upon the scope of the invention except insofar as and to the extent that they are included in the accompanying claims.

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We claim:

1. A thermosetting composition comprising a co-reactable solid, particulate mixture of:

- (a) capped polyisocyanate crosslinking agent; and  
5 (b) hydroxy functional polymer prepared by atom transfer radical polymerization initiated in the presence of an initiator having at least one radically transferable group, and in which said polymer contains at least one of the following polymer chain structures:



wherein M is a residue, that is free of hydroxy functionality, of at least one ethylenically unsaturated radically  
15 polymerizable monomer; G is a residue, that has hydroxy functionality, of at least one ethylenically unsaturated radically polymerizable monomer; p and q represent average numbers of residues occurring in a block of residues in each polymer chain structure; and p, q and x are each individually  
20 selected for each structure such that said active hydrogen functional polymer has a number average molecular weight of at least 250.

2. The composition of claim 1 wherein the capping group  
25 of said capped polyisocyanate crosslinking agent is selected from the group consisting of hydroxy functional compounds, 1H-azoles, lactams, ketoximes and mixtures thereof.

3. The composition of claim 2 wherein the capping group  
30 is selected from the group consisting of phenol, p-hydroxy methylbenzoate, 1H-1,2,4-triazole, 1H-2,5-dimethyl pyrazole, 2-propanone oxime, 2-butanone oxime, cyclohexanone oxime, ε-caprolactam and mixtures thereof.

35 4. The composition of claim 1 wherein the polyisocyanate of said capped polyisocyanate crosslinking agent is selected

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from the group consisting of 1,6-hexamethylene diisocyanate, cyclohexane diisocyanate,  $\alpha,\alpha'$ -xylylene diisocyanate,  $\alpha,\alpha,\alpha',\alpha'$ -tetramethylxylylene diisocyanate, 1-isocyanato-3,3,5-trimethyl-5-isocyanatomethylcyclohexane, diisocyanato-  
5 dicyclohexylmethane, dimers of said polyisocyanates, trimers of said polyisocyanates and mixtures thereof.

5. The composition of claim 1 wherein said crosslinking agent (a) is selected from the group consisting of (i) capped  
10 polyisocyanate functional polymer having at least two capped isocyanate groups, (ii) oligomeric capped polyisocyanate functional adduct and mixtures thereof, said capped polyisocyanate functional polymer and said oligomeric capped polyisocyanate functional adduct each containing structural  
15 linkages selected from the group consisting of urethane, thiourethane, urea and combinations thereof.

6. The composition of claim 5 wherein said capped polyisocyanate functional polymer is a capped polyisocyanate  
20 functional polyurethane having a number average molecular weight of from 1,000 to 10,000.

7. The composition of claim 1 wherein said hydroxy functional polymer (b) is selected from the group consisting  
25 of linear polymers, branched polymers, hyperbranched polymers, star polymers, graft polymers and mixtures thereof.

8. The composition of claim 1 wherein said hydroxy functional polymer has a number average molecular weight of  
30 from 500 to 16,000, and a polydispersity index of less than 2.0.

9. The composition of claim 1 wherein said initiator is selected from the group consisting of linear or branched  
35 aliphatic compounds, cycloaliphatic compounds, aromatic compounds, polycyclic aromatic compounds, heterocyclic

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compounds, sulfonyl compounds, sulfenyl compounds, esters of carboxylic acids, polymeric compounds and mixtures thereof, each having at least one radically transferable halide.

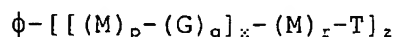
5           10. The composition of claim 9 wherein said initiator is selected from the group consisting of halomethane, methylenedihalide, haloform, carbon tetrahalide, 1-halo-2,3-epoxypropane, methanesulfonyl halide, p-toluenesulfonyl  
10 phenylethyl halide, C<sub>1</sub>-C<sub>6</sub>-alkyl ester of 2-halo-C<sub>1</sub>-C<sub>6</sub>-carboxylic acid, p-halomethylstyrene, mono-hexakis(α-halo-C<sub>1</sub>-C<sub>6</sub>-alkyl)benzene, diethyl-2-halo-2-methyl malonate, ethyl 2-bromoisobutyrate and mixtures thereof.

15           11. The composition of claim 1 wherein said hydroxy functional polymer has a hydroxy equivalent weight of from 100 to 10,000 grams / equivalent.

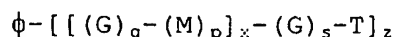
20           12. The composition of claim 1 wherein M is derived from at least one of vinyl monomers, allylic monomers and olefins.

25           13. The composition of claim 12 wherein M is derived from at least one of alkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group, vinyl aromatic monomers, vinyl halides, vinyl esters of carboxylic acids and olefins, and G is derived from hydroxyalkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group.

30           14. The composition of claim 1 wherein said hydroxy functional polymer (b) has at least one of the following polymer chain structures:



and



35           wherein  $\phi$  is or is derived from the residue of said initiator free of said radically transferable group; T is or is derived

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from said radically transferable group of said initiator; x is independently from 1 to 100 for each structure; p and q are each independently within the range of 0 to 100 for each x-segment and for each structure, the sum of p and q being at least 1 for each x-segment, and q being at least 1 for at least one x-segment; r and s are each independently for each structure within the range of 0 to 100; z is independently for each structure at least 1; and said active hydrogen functional polymer has a polydispersity index of less than 2.0.

10

15. The composition of claim 14 wherein said hydroxy functional polymer has a number average molecular weight of from 500 to 16,000, and a polydispersity index of less than 1.8.

15

16. The composition of claim 14 wherein p is independently selected for each structure within the range of 1 to 20; and q is independently selected for each structure within in the range of 1 to 20.

20

17. The composition of claim 14 wherein x is independently selected for each structure within the range of 1 to 50.

25

18. The composition of claim 14 wherein T is halide.

19. The composition of claim 18 wherein T is derived from a dehalogenation post-reaction.

30

20. The composition of claim 19 wherein said dehalogenation post-reaction comprises contacting said active hydrogen functional polymer with a limited radically polymerizable ethylenically unsaturated compound.

35

21. The composition of claim 20 wherein said limited radically polymerizable ethylenically unsaturated compound is



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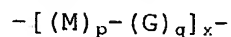
selected from the group consisting of 1,1-dimethylethylene, 1,1-diphenylethylene, isopropenyl acetate, alpha-methyl styrene, 1,1-dialkoxy olefin and combinations thereof.

5           22. The composition of claim 1 wherein the equivalent ratio of isocyanate equivalents in said capped polyisocyanate crosslinking agent (a) to hydroxy equivalents in said hydroxy functional polymer (b) is within the range of 1 : 3 to 3 : 1 .

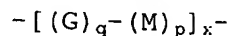
10           23. The composition of claim 1 wherein said capped polyisocyanate crosslinking agent is present in an amount of from 1 to 45 percent by weight, based on total weight of resin solids, and said hydroxy functional polymer is present in an amount of from 55 to 99 percent by weight, based on total  
15 weight of resin solids.

24. A method of coating a substrate comprising:

- (a) applying to said substrate a thermosetting composition;
- 20           (b) coalescing said thermosetting composition to form a substantially continuous film; and
- (c) curing said thermosetting composition by the application of heat, wherein said thermosetting composition comprises a co-reactable solid, particulate mixture of:
- 25           (i) capped polyisocyanate crosslinking agent; and
- (ii) hydroxy functional polymer prepared by atom transfer radical polymerization initiated in the presence of an initiator having at least one radically transferable  
30 group, and in which said polymer contains at least one of the following polymer chain structures:



and



35 wherein M is a residue, that is free of hydroxy functionality, of at least one ethylenically unsaturated radically

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polymerizable monomer; G is a residue, that has hydroxy functionality, of at least one ethylenically unsaturated radically polymerizable monomer; p and q represent average numbers of residues occurring in a block of residues in each  
5 polymer chain structure; and p, q and x are each individually selected for each structure such that said active hydrogen functional polymer has a number average molecular weight of at least 250.

10        25. The method of claim 24 wherein the capping group of said capped polyisocyanate crosslinking agent is selected from the group consisting of hydroxy functional compounds, 1H-azoles, lactams, ketoximes and mixtures thereof.

15        26. The method of claim 25 wherein the capping group is selected from the group consisting of phenol, p-hydroxy methylbenzoate, 1H-1,2,4-triazole, 1H-2,5-dimethyl pyrazole, 2-propanone oxime, 2-butanone oxime, cyclohexanone oxime, ε-caprolactam and mixtures thereof.

20        27. The method of claim 24 wherein the polyisocyanate of said capped polyisocyanate crosslinking agent is selected from the group consisting of 1,6-hexamethylene diisocyanate, cyclohexane diisocyanate, α,α'-xylylene diisocyanate,  
25 α,α,α',α'-tetramethylxylylene diisocyanate, 1-isocyanato-3,3,5-trimethyl-5-isocyanatomethylcyclohexane, diisocyanato-dicyclohexylmethane, dimers of said polyisocyanates, trimers of said polyisocyanates and mixtures thereof.

30        28. The method of claim 24 wherein said crosslinking agent (i) is selected from the group consisting of (i') capped polyisocyanate functional polymer having at least two capped isocyanate groups, (ii') oligomeric capped polyisocyanate functional adduct and mixtures thereof, said capped  
35 polyisocyanate functional polymer and said oligomeric capped polyisocyanate functional adduct each containing structural

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linkages selected from the group consisting of urethane, thiourethane, urea and combinations thereof.

29. The method of claim 28 wherein said capped  
5 polyisocyanate functional polymer is a capped polyisocyanate functional polyurethane having a number average molecular weight of from 1,000 to 10,000.

30. The method of claim 24 wherein said hydroxy  
10 functional polymer (ii) is selected from the group consisting of linear polymers, branched polymers, hyperbranched polymers, star polymers, graft polymers and mixtures thereof.

31. The method of claim 24 wherein said hydroxy  
15 functional polymer has a number average molecular weight of from 500 to 16,000, and a polydispersity index of less than 2.0.

32. The method of claim 24 wherein said initiator is  
20 selected from the group consisting of linear or branched aliphatic compounds, cycloaliphatic compounds, aromatic compounds, polycyclic aromatic compounds, heterocyclic compounds, sulfonyl compounds, sulfenyl compounds, esters of carboxylic acids, polymeric compounds and mixtures thereof,  
25 each having at least one radically transferable halide.

33. The method of claim 32 wherein said initiator is  
selected from the group consisting of halomethane, 1-halo-2,3-epoxypropane, methylenedihalide, haloform, carbon tetrahalide,  
30 methanesulfonyl halide, p-toluenesulfonyl halide, methanesulfenyl halide, p-toluenesulfenyl halide, 1-phenylethyl halide, C<sub>1</sub>-C<sub>6</sub>-alkyl ester of 2-halo-C<sub>1</sub>-C<sub>6</sub>-carboxylic acid, p-halomethylstyrene, mono-hexakis( $\alpha$ -halo-C<sub>1</sub>-C<sub>6</sub>-alkyl)benzene, diethyl-2-halo-2-methyl malonate, ethyl 2-  
35 bromoisobutyrate and mixtures thereof.

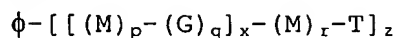
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34. The method of claim 24 wherein said hydroxy functional polymer has a hydroxy equivalent weight of from 100 to 10,000 grams / equivalent.

5 35. The method of claim 24 wherein M is derived from at least one of vinyl monomers, allylic monomers and olefins.

36. The method of claim 35 wherein M is derived from at least one of alkyl (meth)acrylates having from 1 to 20 carbon  
10 atoms in the alkyl group, vinyl aromatic monomers, vinyl halides, vinyl esters of carboxylic acids and olefins, and G is derived from hydroxyalkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group.

15 37. The method of claim 24 wherein said hydroxy functional polymer (ii) has at least one of the following polymer chain structures:



and



wherein  $\phi$  is or is derived from the residue of said initiator free of said radically transferable group; T is or is derived from said radically transferable group of said initiator; x is independently from 1 to 100 for each structure; p and q are  
25 each independently within the range of 0 to 100 for each x-segment and for each structure, the sum of p and q being at least 1 for each x-segment, and q being at least 1 for at least one x-segment; r and s are each independently for each structure within the range of 0 to 100; z is independently for  
30 each structure at least 1; and said active hydrogen functional polymer has a polydispersity index of less than 2.0.

38. The method of claim 37 wherein said hydroxy functional polymer has a number average molecular weight of  
35 from 500 to 16,000, and a polydispersity index of less than 1.8.

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39. The method of claim 37 wherein p is independently selected for each structure within the range of 1 to 20; and q is independently selected for each structure within in the  
5 range of 1 to 20.

40. The method of claim 37 wherein x is independently selected for each structure within the range of 1 to 50.

10 41. The method of claim 37 wherein T is halide.

42. The method of claim 41 wherein T is derived from a dehalogenation post-reaction.

15 43. The method of claim 42 wherein said dehalogenation post-reaction comprises contacting said active hydrogen functional polymer with a limited radically polymerizable ethylenically unsaturated compound.

20 44. The method of claim 43 wherein said limited radically polymerizable ethylenically unsaturated compound is selected from the group consisting of 1,1-dimethylethylene, 1,1-diphenylethylene, isopropenyl acetate, alpha-methyl styrene, 1,1-dialkoxy olefin and combinations thereof.

25 45. The method of claim 24 wherein the equivalent ratio of isocyanate equivalents in said capped polyisocyanate crosslinking agent (i) to hydroxy equivalents in said hydroxy functional polymer (ii) is within the range of 1 : 3 to 3 : 1.

30 46. The method of claim 24 wherein said capped polyisocyanate crosslinking agent is present in an amount of from 1 to 45 percent by weight, based on total weight of resin solids, and said hydroxy functional polymer is present in an  
35 amount of from 55 to 99 percent by weight, based on total weight of resin solids.

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47. A substrate coated by the method of claim 24.

48. A multi-component composite coating composition  
5 comprising:

(a) a base coat deposited from a pigmented film-forming composition; and

(b) a transparent top coat applied over said base coat, wherein said transparent top coat is deposited from a  
10 clear film-forming thermosetting composition comprising a co-reactable solid, particulate mixture of:

(i) capped polyisocyanate crosslinking agent;  
and

(ii) hydroxy functional polymer prepared by  
15 atom transfer radical polymerization initiated in the presence of an initiator having at least one radically transferable group, and in which said polymer contains at least one of the following polymer chain structures:

$$-[(M)_p-(G)_q]_x-$$
  
20 and

$$-[(G)_q-(M)_p]_x-$$

wherein M is a residue, that is free of hydroxy functionality, of at least one ethylenically unsaturated radically polymerizable monomer; G is a residue, that has hydroxy  
25 functionality, of at least one ethylenically unsaturated radically polymerizable monomer; p and q represent average numbers of residues occurring in a block of residues in each polymer chain structure; and p, q and x are each individually selected for each structure such that said active hydrogen  
30 functional polymer has a number average molecular weight of at least 250.

49. The multi-component composite coating composition of claim 48 wherein the capping group of said capped  
35 polyisocyanate crosslinking agent is selected from the group

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consisting of hydroxy functional compounds, 1H-azoles, lactams, ketoximes and mixtures thereof.

50. The multi-component composite coating composition of claim 49 wherein the capping group is selected from the group consisting of phenol, p-hydroxy methylbenzoate, 1H-1,2,4-triazole, 1H-2,5-dimethyl pyrazole, 2-propanone oxime, 2-butanone oxime, cyclohexanone oxime, ε-caprolactam and mixtures thereof.

10

51. The multi-component composite coating composition of claim 48 wherein the polyisocyanate of said capped polyisocyanate crosslinking agent is selected from the group consisting of 1,6-hexamethylene diisocyanate, cyclohexane diisocyanate, α,α'-xylylene diisocyanate, α,α,α',α'-tetramethylxylylene diisocyanate, 1-isocyanato-3,3,5-trimethyl-5-isocyanatomethylcyclohexane, diisocyanatodicyclohexylmethane, dimers of said polyisocyanates, trimers of said polyisocyanates and mixtures thereof.

20

52. The multi-component composite coating composition of claim 48 wherein said crosslinking agent (i) is selected from the group consisting of (i') capped polyisocyanate functional polymer having at least two capped isocyanate groups, (ii') oligomeric capped polyisocyanate functional adduct and mixtures thereof, said capped polyisocyanate functional polymer and said oligomeric capped polyisocyanate functional adduct each containing structural linkages selected from the group consisting of urethane, thiourethane, urea and combinations thereof.

30

53. The multi-component composite coating composition of claim 52 wherein said capped polyisocyanate functional polymer is a capped polyisocyanate functional polyurethane having a number average molecular weight of from 1,000 to 10,000.

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54. The multi-component composite coating composition of claim 48 wherein said hydroxy functional polymer (ii) is selected from the group consisting of linear polymers, branched polymers, hyperbranched polymers, star polymers, graft polymers and mixtures thereof.

55. The multi-component composite coating composition of claim 48 wherein said hydroxy functional polymer has a number average molecular weight of from 500 to 16,000, and a polydispersity index of less than 2.0.

56. The multi-component composite coating composition of claim 48 wherein said initiator is selected from the group consisting of linear or branched aliphatic compounds, cycloaliphatic compounds, aromatic compounds, polycyclic aromatic compounds, heterocyclic compounds, sulfonyl compounds, sulfenyl compounds, esters of carboxylic acids, polymeric compounds and mixtures thereof, each having at least one radically transferable halide.

57. The multi-component composite coating composition of claim 56 wherein said initiator is selected from the group consisting of halomethane, 1-halo-2,3-epoxypropane, methylenedihalide, haloform, carbon tetrahalide, methanesulfonyl halide, p-toluenesulfonyl halide, methanesulfenyl halide, p-toluenesulfenyl halide, 1-phenylethyl halide, C<sub>1</sub>-C<sub>6</sub>-alkyl ester of 2-halo-C<sub>1</sub>-C<sub>6</sub>-carboxylic acid, p-halomethylstyrene, mono-hexakis( $\alpha$ -halo-C<sub>1</sub>-C<sub>6</sub>-alkyl)benzene, diethyl-2-halo-2-methyl malonate, ethyl 2-bromoisobutyrate and mixtures thereof.

58. The multi-component composite coating composition of claim 48 wherein said hydroxy functional polymer has a hydroxy equivalent weight of from 100 to 10,000 grams / equivalent.

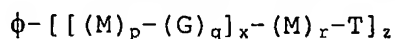


- 55 -

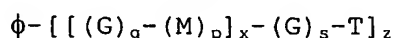
59. The multi-component composite coating composition of claim 48 wherein M is derived from at least one of vinyl monomers, allylic monomers and olefins.

5 60. The multi-component composite coating composition of claim 59 wherein M is derived from at least one of alkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group, vinyl aromatic monomers, vinyl halides, vinyl esters of carboxylic acids and olefins, and G is derived from  
10 hydroxyalkyl (meth)acrylates having from 1 to 20 carbon atoms in the alkyl group.

61. The multi-component composite coating composition of claim 48 wherein said hydroxy functional polymer (ii) has at  
15 least one of the following polymer chain structures:



and



wherein  $\phi$  is or is derived from the residue of said initiator  
20 free of said radically transferable group; T is or is derived from said radically transferable group of said initiator; x is independently from 1 to 100 for each structure; p and q are each independently within the range of 0 to 100 for each x-segment and for each structure, the sum of p and q being at  
25 least 1 for each x-segment, and q being at least 1 for at least one x-segment; r and s are each independently for each structure within the range of 0 to 100; z is independently for each structure at least 1; and said active hydrogen functional polymer has a polydispersity index of less than 2.0.

30

62. The multi-component composite coating composition of claim 61 wherein said hydroxy functional polymer has a number average molecular weight of from 500 to 16,000, and a polydispersity index of less than 1.8.

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63. The multi-component composite coating composition of claim 61 wherein p is independently selected for each structure within the range of 1 to 20; and q is independently selected for each structure within in the range of 1 to 20.

5

64. The multi-component composite coating composition of claim 61 wherein x is independently selected for each structure within the range of 1 to 50.

10 65. The multi-component composite coating composition of claim 61 wherein T is halide.

66. The multi-component composite coating composition of claim 65 wherein T is derived from a dehalogenation post-  
15 reaction.

67. The multi-component composite coating composition of claim 66 wherein said dehalogenation post-reaction comprises contacting said active hydrogen functional polymer with a  
20 limited radically polymerizable ethylenically unsaturated compound.

68. The multi-component composite coating composition of claim 67 wherein said limited radically polymerizable  
25 ethylenically unsaturated compound is selected from the group consisting of 1,1-dimethylethylene, 1,1-diphenylethylene, isopropenyl acetate, alpha-methyl styrene, 1,1-dialkoxy olefin and combinations thereof.

30 69. The multi-component composite coating composition of claim 48 wherein the equivalent ratio of isocyanate equivalents in said capped polyisocyanate crosslinking agent (i) to hydroxy equivalents in said hydroxy functional polymer (ii) is within the range of 1 : 3 to 3 : 1 .

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70. The multi-component composite coating composition of claim 48 wherein said capped polyisocyanate crosslinking agent is present in an amount of from 1 to 45 percent by weight, based on total weight of resin solids, and said hydroxy  
5 functional polymer is present in an amount of from 55 to 99 percent by weight, based on total weight of resin solids.

71. A substrate having said multi-component composite coating composition of claim 48 deposited thereon.  
10

72. A substrate having said multi-component composite coating composition of claim 61 deposited thereon.

# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/US 99/19439

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 C08G18/62 C08F4/40 C08F293/00 C09D5/03

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C08G C08F C09D

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 0 773 267 A (KANSAI PAINT) 14 May 1997 (1997-05-14) page 2, line 22 -page 4, line 34; claims 1,3; example 7 ---	1
A	EP 0 258 065 A (E.I. DU PONT DE NEMOURS) 2 March 1988 (1988-03-02) page 3, line 41 -page 8, line 12; claims 1,2,4; examples 6,7 ---	1,7,8
A	US 5 098 956 A (BLASKO ET AL) 24 March 1992 (1992-03-24) column 5, line 9 -column 13, line 60; examples --- -/--	1,7,8



Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

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"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

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Date of the actual completion of the international search

29 December 1999

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# INTERNATIONAL SEARCH REPORT

Int'l Application No

PCT/US 99/19439

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	<p>WO 97 18247 A (CARNEGIE MELLON UNIVERSITY)  22 May 1997 (1997-05-22)  cited in the application  the whole document  -----</p>	1

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